

GA-01.01, "Policies/Procedures and Forms," October 1, 2007

SCDC POLICY/PROCEDURE

NUMBER: GA-01.01

TITLE: POLICIES, PUBLICATIONS, AND FORMS

ISSUE DATE: October 1, 2007

RESPONSIBLE AUTHORITY: POLICY DEVELOPMENT BRANCH

OPERATIONS MANUAL: GENERAL ADMINISTRATION

SUPERSEDES: GA-01.01 (November 1, 2003)

RELEVANT SCDC FORMS/SUPPLIES: 9-1, 14-45

ACA/CAC STANDARDS: 4-ACRS-7B-09, 4-ACRS-7B-07, 4-ACRS-7B-08, 4-4004, 4-4012, 4-4013, 4-4014

STATE/FEDERAL STATUTES: NONE

PURPOSE: To outline the South Carolina Department of Corrections policy and forms development process and provide rules for other publications and newsletters.

POLICY STATEMENT: To ensure the consistent and uniform management and operation of the SCDC, all policies and forms will be managed by the Office of Policy Development. All employees of the Agency will be responsible for reviewing and adhering to published policies that relate, either specifically or generally, to their job function. All Agency policies will comply with applicable state, federal, and local statutes and with case law.

1. OFFICE OF POLICY DEVELOPMENT RESPONSIBILITIES:

- Establish and maintain an efficient system whereby all policies governing the operation of the SCDC are developed and reviewed on at least an annual basis (allowing ample time for staff input and comment by appropriate SCDC officials). Any policy changes or revision will be reviewed and signed by the Agency Director;
- Maintain documentation of annual review of all policies; (4-ACRS-7B-09, 4-ACRS-7B-08, 4-4012, 4-4014)
- Establish a historical file of Agency policies previously governing the operations of the SCDC;
- Ensure that all policies, changes to those policies, tables of contents, and an alphabetical index are maintained in a series of manuals referred to as Agency Manuals and on the SCDC policy intranet web site;

- Maintain a current distribution list for all policies and Agency Manuals issued to offices, divisions, and institutions, provided to the public, and provided to inmates;
- Ensure that all policies are correctly formatted and are grammatically sound;
- Ensure that the draft policies and changes submitted by responsible authorities do not contradict existing policies and make revisions where necessary;
- Cross reference other Agency policies where necessary;
- Coordinate with the Office of General Counsel on each policy to determine whether or not it should be restricted from access by inmates.

2. EXCEPTIONS/CHANGES TO POLICY: The Agency Director is the only individual authorized to make any exceptions to written policy. Any exceptions or changes to published policies should be reviewed by the Office of Policy Development and the appropriate member(s) of the Director's staff. After this review, the Office of Policy Development will send the exception or change to the Agency Director for review and signature. The signed exception/change will be returned to the Office of Policy Development to be permanently filed with the policy and copies will be appropriately distributed.

3. EMPLOYEE ACCESS TO POLICIES: One (1) complete set of the Agency Manuals will be maintained in the Division of Policy Development. The Agency Director's office and any offices/divisions located in the central headquarters building or annex, may elect to maintain a complete copy of the Agency Manuals or, if their employees have access to the SCDC policy intranet web site, may return their manuals to the Office of Policy Development. If the office/division elects to maintain a complete set of the Agency Manuals, the manuals must be located in areas which are generally accessible to staff. Wardens and Division Directors located outside the central headquarters building or annex will be responsible for ensuring that manuals are located in areas which are generally accessible to staff. At a minimum, Wardens will be responsible for ensuring that at least one (1) set of the manuals is located in an area accessible to staff and volunteers on a 24-hour, seven (7) day per week basis.(NOTE: Staff will never be required to sign for any policies they wish to review. In addition, staff will never be required to request to view policies through a supervisor.) (4-ACRS-7B-07, 4-ACRS-7B-08, 4-4014, 4-4014)

4. INMATE ACCESS TO POLICIES: A copy of each Agency Manual will be provided to each institution to be placed in an area of the institution generally accessible to inmates, i.e., institutional library, etc. All policies (with the exception of those marked "Restricted") will be included in these manuals. See GA-01.03, "Inmate Access to the Courts," for procedures regarding requests to see policies from inmates in Special Management Units, Maximum Security Unit, or Death Row.(4-4014)

5. REQUESTS FROM PUBLIC/MEDIA FOR POLICIES: Requests from the public or any member of the media for copies of any Agency policies will be processed pursuant to the guidelines authorized under the Freedom of Information Act (FOIA). (See SCDC policy GA-02.04, "Freedom of Information Act Requests.") Such requests may be referred to the Office of Policy Development. The Office of Policy Development will coordinate FOIA requests with the General Counsel's Office. (4-4012)

6. PHOTOCOPIES OF POLICIES: SCDC employees are allowed to print/photocopy a policy for their own reference. Copies should be limited to those policies that the employee uses in his/her daily job duties.

Restricted policies which are printed on blue paper may be copied on white paper if there is no blue paper available. However, the employee must ensure that each page is marked RESTRICTED and that restricted policies are not available to inmates. If the restricted policy is in an area that might be accessible to inmates, it must be printed on blue paper. There is no requirement to stamp or write "For Training Use Only" on the photocopy. Employees may not, however, print copies of policies for the purpose of creating (in whole or in part) their own set of Agency Manuals.

7. COMPLIANCE WITH POLICIES: The Division Director of Compliance, Standards and Inspections or designee will be responsible for scheduling and conducting reviews of staff compliance with Agency policies.

8. SCHEDULING AND ANNUAL REVIEW: All policies will be reviewed annually. The annual schedule and review of existing policies will be as follows: (4-ACRS-7B-08, 4-4012)

8.1 Annual Review: All responsible authorities, wardens, and division directors or their designees will review all policies annually. Each month, the Office of Policy Development will send out a systemwide CRT message with the list of policies to be reviewed. The responsible authorities, wardens, and division directors or their designees will establish a procedure to document this review. Facilities should maintain copies of this documentation in order to document management review files. Any proposed changes must be forwarded through the supervisory chain and the appropriate Agency Director's staff member, to the Office of Policy Development. The Office of Policy Development must receive any proposed changes not later than the 15th day of the next month. If no changes are received by the due date, the current policy will be presumed to be acceptable.

8.2 Staffing and Publication: If there are no suggested changes or the changes are not substantive, the annual review will be complete and the policy will not be re-published. If there are substantive changes, the Office of Policy Development will draft a change or a revised policy, and submit it to the Agency Director's staff for review and comment. The Director's staff may coordinate the change or revised policy with his/her institutions, divisions, or branches. Any change or revised policy not returned to the Office of Policy Development by the due date will be presumed to be acceptable. Any additional changes from the Agency Director's staff will be appropriately coordinated by the Office of Policy Development, the policy will be finalized, and the completed policy will be submitted through the Office of General Counsel to the Agency Director for signature. After signature by the Agency Director, the change or policy will be posted on the website and distributed to policy manual holders

8.3 Changes at Times Other Than Annual Review: Employees may submit a change by sending a memo through the appropriate Agency Director's staff member to the Office of Policy Development. These changes will be coordinated with affected members of the Agency Director's staff by the Office of Policy Development. If the Director's staff members recommend the change, it will be submitted through the Office of General Counsel to the Agency Director. After signature by the Agency Director, the change will be will be posted on the website and distributed to policy manual holders (by systemwide CRT message or by interoffice mail).

8.4 Publication: Office of Policy Development will issue a numbered Change Memorandum that will include any new/substantively revised policies and/or changes on a regular basis. This Change Memorandum will normally be distributed to all Policy Manual liaisons and added to the SCDC policy Intranet web site prior to the effective date of the new/revised policy. Effective dates for new/revised policies will normally fall on the first day of a month.

8.5 Maintenance of Agency Manuals:

8.5.1 Each staff person responsible for a set of Agency Manuals will ensure that new policies and changes are added to the manuals as they become effective. Members of the Director's Staff, Division Directors, and Wardens are responsible for developing a system to ensure that new policies and changes are made available, routed to appropriate staff, and/or briefed, as appropriate.

8.5.2 When a change is issued to an existing policy, the staff person responsible for the Agency Manuals will ensure that the change is added to the appropriate manual, in front of the applicable policy. This will help to ensure that all users of the Agency Manuals are aware of all changes. The Office of Policy Development will add links to the changes at the top of and in red lettering in the appropriate policy and in

the appropriate index for those employees with access to the policies on the Intranet.

8.5.3 The Office of Policy Development will publish a Table of Contents for each manual and an alphabetical index of all policies at least annually. The staff member responsible for the Agency Manuals will be responsible for making pen and ink changes to the table of contents and alphabetical index to show new policies and new changes that are published during the succeeding year.

8.6 Under special circumstances, the Agency Director or the Branch Chief of Policy Development may modify Paragraphs 8., through 8.5.3 to expedite the processing of policies determined to be critical to the operation of the Agency. (4-ACRS-7B-09, 4-4004)

9. NEW POLICIES: When there is a need for a new policy or to revise an existing policy, the Responsible Authority will develop a draft. The draft will be submitted to the Office of Policy Development. Once the draft is reviewed, it will be routed for review by the Office of Policy Development to Wardens and Division Directors for review by their staff as outlined in paragraphs 8.1 and 8.2.

10. FORMS CONTROL ADMINISTRATION: The Branch Chief of Policy Development will be responsible for the maintenance of the Agency's Forms. The Office of Policy Development will:

- coordinate the development of new Agency forms/supplies and revision/deletion of any existing forms/supplies;
- provide the Commissary Branch with a list of any forms/supplies that are undergoing revision so that this list may be consulted before the Commissary Branch Chief or designee orders additional forms/supplies from the Print Shop;
- maintain a list of published forms/supplies;
- provide instructions for the disposition of the forms/supplies which are currently in stock. This may include: recycling existing forms/supplies, using remaining stock and then reordering new forms/supplies, or returning all obsolete forms/supplies to the Print Shop so that scratch pads can be made.

11. REQUESTS FOR DEVELOPMENT, REVISION, OR DELETION OF AGENCY FORMS/SUPPLIES: An employee may make a request at any time to automate, revise, develop, or delete a form/supply by submitting SCDC Form 9-1, "Request to Develop, Revise, or Delete a Form," to the Office of Policy Development, who will coordinate with the responsible authority and any other affected offices. After this coordination, the Office of Policy Development will forward a copy of SCDC Form 9-1 to the requesting employee indicating approval/disapproval of the requested action. If disapproval is recommended, a reason will be provided. If approved, the form/supply will be processed as described in Procedure 12., below.

12. PROCESSING FORM/SUPPLY REQUESTS:

12.1 Once a form/supply has been approved to be revised or developed as described in Procedure 11., above, the Office of Policy Development will be responsible for instructing the Division Director responsible for the form/supply to submit a completed SCDC Form 14-45, "Print Shop Requisition," to the Office of Policy Development so that the appropriate budget unit can be charged. (NOTE: During each Agency policies annual review process, the responsible Division Director should review his/her

forms/supplies to determine the suitability of automating the same. Similarly, when a new form/supply is being developed, the responsible Division Director will be required to determine the suitability of automating the same. If automation is feasible, the Division Director of Resource and Information Management or designee will be contacted to process the form/supply and submission of SCDC Form 14-45 will not be required.)

12.2 Revisions: In those cases where an existing form/supply is revised, the responsible Division Director will contact the Commissary Branch to determine the current stock level of the form/supply. In addition, the Division Director will indicate whether s/he believes that the extent of the changes to the form/supply would require the current stock of existing forms/supplies to be recycled, sent to the Print Shop so that scratch pads can be made, or depleted. The Division Director will indicate the number in stock and his/her recommendations on SCDC Form 14-45, "Print Shop Requisition." (NOTE: In most cases, it is to the Agency's advantage to deplete the current stock in order to avoid destroying forms.)

12.3 New: In those cases where a new form/supply is being developed, the responsible Division Director will be required to estimate the annual usage and to provide this information on SCDC Form 14-45, "Print Shop Requisition." A completed copy of SCDC Form 14-45 will be submitted to the Print Shop for processing. The Office of Policy Development will retain a copy of the form for his/her records. The Print Shop will ensure that a "proof" of the form/supply is provided for approval to the responsible Division Director prior to finalizing the form/supply. Once a proof has been approved, or if corrections have been made by the responsible Division Director, the Print Shop will forward this information to the Office of Policy Development. Once a proof has been approved by the Office of Policy Development, s/he will forward this information to the Commissary Forms Liaison who will then forward it on to the Print Shop. The Office of Policy Development may, in limited instances, authorize employees to photocopy some forms/supplies on copy machines. The Office of Policy Development is the only individual authorized to approve photocopying forms. Employees will be prohibited from copying forms/supplies without authorization.

12.4 Processing of Deleted Forms/Supplies: Whenever a form/supply is recommended and approved for deletion, the Office of Policy Development will notify the Commissary Branch to remove this form/supply from their current inventory. The Office of Policy Development will be responsible for updating the list of published forms/supplies.

13. OTHER DIRECTIVES AND/OR DESK PROCEDURES: Additional directives and/or desk procedures may be developed by divisions/areas for use within their specific area only (e.g., Medical Directives). The information included therein should be either a clarification to, or more specific than, Agency policies (not a duplication of Agency policy), i.e., day-to-day operations. These directives and/or desk procedures must be in compliance with all current Agency policies, state and federal statutes, and all other applicable rules, regulations, and standards. They must be reviewed on an annual basis at the same time as the corresponding policy. The development and use of institutional policies manuals to supplement SCDC policies is prohibited.

14. OTHER PUBLICATIONS/NEWSLETTERS:

14.1 Requests for the production and/or dissemination of SCDC publications (with the exception of a newsletter described in Procedure 14.4, below) must be submitted in memorandum form through the appropriate Warden or Division Director and the Communications Director for approval. The memo should outline the following:

- a description of the publication (e.g., brochure, booklet, pamphlet, etc.);
- the title of the publication, if known, or the subject;
- justification for the publication;
- anticipated length (e.g., number of pages, etc.); and
- potential distribution (e.g., to whom it will be disseminated, etc.).

14.2 The Communications Director will obtain approval from the Director for all publications.

14.3 Employee Newsletters: SCDC facilities, divisions, and offices are permitted to publish a monthly newsletter with approval from the Communications Director as outlined in paragraph 14.1.

14.4 Inmate Publications: Inmate publications will be subject to content review and approval by the Warden and Division Director of Inmate Services. If there is any reason to believe that any STG information is contained in the publication, the contents will be sent to the Inspector General for review.

14.4.1 There will be no cost to the South Carolina Department of Corrections, to include excessive wear and tear on the copy machines or excessive copies made for any inmate publications.

15. DEFINITIONS:

Agency, where used herein, refers to the South Carolina Department of Corrections.

Change Memorandum refers to a memorandum, sent by the Office of Policy Development to all Policy Manual Holders that provides new/revised/deleted policies to policy manual holders.

Agency Manuals refers to a series of five (5) manuals (Operations, Program Services, Administration, Health Services, and General Administration) that contain the Agency policies. (4-4014)

Restricted refers to policy to which the inmates will not have access. Restricted policies will be published on blue paper and marked "RESTRICTED" when information in the policy could be used by an inmate, or one acting on his/her behalf, in a manner that would compromise the security or safety of institutions, other inmates, or staff. (Note: These policies do not have to be printed on blue paper when they are printed from the SCDC policy Web Site and if the policy will not be in an area accessible to inmates. However, each page must be marked "RESTRICTED.")

SIGNATURE ON FILE

—
s/Jon E. Ozmint, Director

ORIGINAL SIGNED COPY MAINTAINED IN THE DIVISION OF POLICY DEVELOPMENT.